

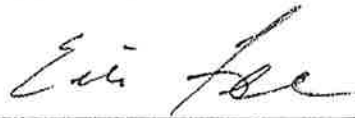

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM **INSPECTION CHECKLIST**

Chapter 3, Command Procurements
Purchases

Command: ISU	Division: Southern	Number: 509
Evaluated by: Sergeant Eric Lee, #12707		Date: 12/18/2008
Assisted by: OSSII Lucia Callejas, #A9541		Date: 12/18/2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Follow-up Inspection	Commander's Signature: 	Date: 12-30-08
For applicable policy, refer to: HPM 11.2, Chapter 7			
1. Are participants in the procurement process at the command level familiar with the related policies and procedures for purchasing?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	Remarks:	
2. Have Approvers/reviewers of purchases received procurement training?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	Remarks:	
3. Are prohibited items procured on CHP 43, Purchases Requisitions? <ul style="list-style-type: none"> Supplies for personally – owned equipment Commodities for personal use Confirming order Purchases via the internet 	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> N/A	Remarks:	
4. Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	Remarks:	
5. Is all required information entered on the CHP 43, Purchase Requisition?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	Remarks:	
6. Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each fiscal year (July 1)?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	Remarks:	
7. Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for approval?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	Remarks:	

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8. Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Are the CHP 43, Purchase Requisitions, competitively bid?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: See remarks at the bottom of page 3.
12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: See remarks at the bottom of page 3.
13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Are items checked immediately for content and damage when delivered?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: If damage is not immediately apparent and the driver no longer available, the vendor is contacted.

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Purchases


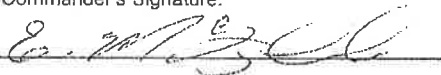
20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time? (SAM 8422.0)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: The Command has a suspense system to track purchase orders.
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Through the CHP 43 and email correspondences.
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

11 & 12 – Prior to the Oct 2008, procurement training, the Command was misinterpreting the Limited Competitive Bidding purchase process specific to brand and model as prescribed by SAM 3555 & 3555.3. The Command is currently in compliance.

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INSPECTION CHECKLIST
 Chapter 3, Command Procurements
 Contracts

Command: ISU	Division: Southern	Number: 509
Evaluated by: Sergeant Eric Lee, #12707		Date: 12/18/2008
Assisted by: OSSII Lucia Callejas, #A9541		Date: 12/18/2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead Inspector's Signature:		
<input type="checkbox"/> Division Level <input type="checkbox"/> Executive Office Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Voluntary Self-Inspection				
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection		Commander's Signature: 
		Date: 12-30-08		
For applicable policy, refer to: HPM 11.1, Chapter 22				
1. Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
3. Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for <u>contract payable</u> listed on the CHP 78?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
4. Is the performance of contract services monitored and documented?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
5. Are all copies of correspondence with the vendor maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
8. Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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Chapter 3, Command Procurements
Contracts

9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
10. Is all work completed and accepted by the Department before expiration of contract agreement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are all applicable form sections of the CHP 78 completed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: The Command has not experienced any such instances.
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
20. Are contract amendment request dollar amounts increased more than 30%?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: The Command has not experienced any such need.

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Chapter 3, Command Procurements

Contracts

21. Is the length of the contract amendment request more than one year?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: The Command has not experienced any such instances.
22. Are amendments requested before the expiration of the original contract?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: The Command has not experienced any such instances.
23. Is a service contract on a CHP 78, Contract Request, initiated for any commercial meeting/conference room rental, which is expected to exceed \$4,999.99 in total cost?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: The Command has had no such rentals.
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: The Command has had no such rentals.
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) <u>fingerprint checks and driver license checks</u> conducted for all of the following types of agreements: (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Other than janitorial services, the Command has had no such services. Janitorial services are provided by the Department of General Services.
26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days: (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: The Command has had no contract or specially assigned personnel who meet this criteria.

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Chapter 3, Command Procurements
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27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: The Command has no contractors/personnel meeting this requirement.
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: The Command has experienced no such instances.
29. Are all invoices, records, and relevant documentation maintained for <u>three years</u> after the final payment of the contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
30. Is a log sheet maintained for a diary of activities related to the contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
31. Is a computer file prepared for all contracts administered?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
32. Is a spreadsheet prepared listing all expenditures?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
33. Is the notification to the contractor documented for the start date for services to begin?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: The Command has had no consultant service contracts.
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: The Command has had no consultant service contracts.
37. Does contract work only begin after approval of the final contract? (SCM Vol. I, Ch. 4, Section 4.09)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:



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COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements
Cal-Card Program

Command: ISU	Division: Southern	Number: 509
Evaluated by: Sergeant Eric Lee, #12707		Date: 12/18/2008
Assisted by: OSSII Lucia Callejas, #A9541		Date: 12/18/2008

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TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 		
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection	Commander's Signature: 	
Date: 12-30-08				
For applicable policy, refer to: HPM 11.2, Chapter 3				
1. Are all employees associated with the use of the Cal-Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: As of the Oct. 2008 Procurement Training.
2. Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: As of the Oct. 2008 Procurement Training.
3. Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: As of the Oct. 2008 Procurement Training.
4. Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
5. If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
8. Does the CHP 317 Cal Card Log fully describe the purchase?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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Chapter 3, Command Procurements
Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are credit invoices/receipts for returned items maintained with the bank statement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: The K9 cards are personally secured by the K9 officers. All others are secured in a locked metal box under the control of the OSSII.
14. Are Cal Card purchases pre-approved by the commander?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Or designee (Lieutenant) in the absence of the Commander.
15. Have all cardholders received training on the Department's procurement processes?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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COMMAND INSPECTION PROGRAM**INSPECTION CHECKLIST**

Chapter 3, Command Procurements

X-Number Program

Command: ISU	Division: Southern	Number: 509
Evaluated by: Sergeant Eric Lee, #12707		Date: 12/18/2008
Assisted by: OSSII Lucia Callejas, #A9541		Date: 12/18/2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection	Commander's Signature: 
Date: 12-30-08			
For applicable policy, refer to: HPM 11.1, Chapter 23			
1. Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A
2. Does all X Number file documentation contain the STD. 204 Payee Data Record?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A
3. Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A
4. Are X Number requests made prior to the date the services are performed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
5. Are X Numbers issued for a one-time use?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
6. Are prohibited services performed using an X Number?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A
7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
8. Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
9. Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
10. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A

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INSPECTION CHECKLIST
 Chapter 3, Command Procurements
 X-Number Program


11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: See remarks at bottom of page.
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: See remarks at bottom of page.
14. Do emergency service X Numbers document and justify the emergency?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

2. Because the STD 204 is valid for a period of 3 years, a duplicate copy for an individual vendor/service provider was not previously attached to any subsequent documentation. Following the Oct. 2008, procurement training, the Command has implemented a suspense system and attaches a copy of the STD 204 to all individual X number file documents.
12. The Small Business Certification is valid for a period of one year and was not previously attached to each individual record. Following the Oct 2008, procurement training, a copy of the certification has been attached to each individual record.
13. A STD 21 was not previously attached to each individual record. Following the Oct. 2008, procurement training, the Command has implemented a suspense system and attaches a copy of the STD 21 to each individual record.

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Command: ISU	Division: Southern	Chapter: 3
Inspected by: Sergeant Eric Lee, #12707		Date: 12/18/2008

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: Southern Division Due Date: _____	Commander's Signature: 	Date: 12-18-08
Chapter Inspection:			
Inspector's Comments Regarding Innovative Practices:			

None

Command Suggestions for Statewide Improvement:

Continued training for key personnel.

Standardized tracking spreadsheet for contracts.

Inspector's Findings:

The Southern Division Special Services Unit administers 22 contracts, all of which were examined. See attached (Exhibit 1). Exhibit 1 is the Area's computer file of all contracts administered.

Because the STD 204 is valid for a period of 3 years, a duplicate copy for an individual vendor/service provider was not previously attached to any subsequent documentation. Following the Oct. 2008, procurement training, the Command has implemented a suspense system and attaches a copy of the STD 204 to all individual X number file documents.

The Small Business Certification is valid for a period of one year and was not previously attached to each individual record. Following the Oct 2008, procurement training, a copy of the certification has been attached to each individual record.

A STD 21 was not previously attached to each individual record. Following the Oct. 2008, procurement training, the Command has implemented a suspense system and attaches a copy of the STD 21 to each individual record.

COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT
page 2

Command: ISU	Division: Southern	Chapter: 3
Inspected by: Sergeant Eric Lee, #12707		Date: 12/18/2008

Commander's Response:

The Command has established a suspense system to ensure the CHP 317, and STD 21 and 204 are reviewed and updated at the prescribed time periods. The Command has also developed a spreadsheet to track contract expenditures and a vendor diary to track vendor activities.

Inspector's Comments:

None.

Required Action

Corrective Action Plan/Timeline

Corrective actions have already been implemented.

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Page 3

Command: ISU	Division: Southern	Chapter: 3
Inspected by: Sergeant Eric Lee, #12707		Date: 12/18/2008

Appeal Process: *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

Commander's Basis for Appeal:

N/A

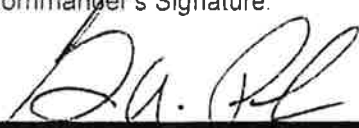
Appeal Review/Decision: *(This shall be the only level of appeal).*

Lead Inspector's Signature:	Date:
Responding Commander's Signature (for appeal):	Date:

COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Command: East Los Angeles	Division: Southern	Chapter: 3 - Command Procurements
Inspected by: Paul Medeiros		Date: 12/04/2008

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: _____ Due Date: _____	Commander's Signature: 	Date: 02-23-09

Chapter Inspection: Three – Command Procurement

Inspector's Comments Regarding Innovative Practices:

No innovative practices were observed.

Command Suggestions for Statewide Improvement:

None.

Inspector's Findings:

The Clerical staff was unaware the packing slips were required to be forwarded with the purchase order to Fiscal Management Section (FMS). Policy has been reviewed with the staff and all future packing slips will be forwarded appropriately to FMS.

COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Command: East Los Angeles	Division: Southern	Chapter: 3
Inspected by: Paul Medeiros		Date: 12/04/2008

Page 2

Commander's Response:

N/A

Inspector's Comments:

Area personnel responsible for procurement management should receive refresher training on annual basis.

Required Action

Corrective Action Plan/Timeline

N/A

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Command: East Los Angeles	Division: Southern	Chapter: 3
Inspected by: Paul Medeiros		Date: 12/04/2008

Page 3

Appeal Process: *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

Commander's Basis for Appeal:

N/A

Appeal Review/Decision: *(This shall be the only level of appeal).*

N/A

Lead Inspector's Signature:

Date:

Commanding Commander's Signature (for appeal):

Date:

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
INSPECTION CHECKLIST
Chapter 3, Command Procurements
Cal-Card Program

Command: Central L.A.	Division: Southern	Number: 590
Evaluated by: Sgt. R. Diggins, #14275		Date: 11/18/2008
Assisted by: Officer J. Donahue, #16689		Date: 11/13-18/08

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: <i>Diggins</i>	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection	Commander's Signature: <i>DeLay L</i>
Date: <i>1-15-09</i>			
For applicable policy, refer to: HPM 11.2, Chapter 3			
1. Are all employees associated with the use of the Cal-Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
2. Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A
3. Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
4. Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A
5. If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
6. When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
7. Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A
8. Does the CHP 317 Cal Card Log fully describe the purchase?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
9. Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements
Cal-Card Program

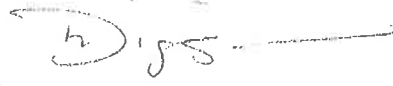
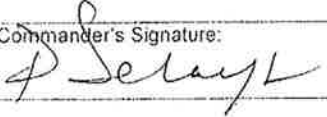
10. Is the CHP 317 Cal Card Log properly authorized and maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are credit invoices/receipts for returned items maintained with the bank statement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM
INSPECTION CHECKLIST
Chapter 3, Command Procurements
Purchases

Command: Central L.A.	Division: Southern	Number: 590
Evaluated by: Sgt. R. Diggins, #14275		Date: 11/18/2008
Assisted by: Officer J. Donahue, #16689		Date: 11/13-18/08

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead Inspector's Signature:		
<input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection				
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Follow-up Inspection		Commander's Signature:		Date:
				1-15-09
For applicable policy, refer to: HPM 11.2, Chapter 7				
1. Are participants in the procurement process at the command level familiar with the related policies and procedures for purchasing?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Have Approvers/reviewers of purchases received procurement training?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
3. Are prohibited items procured on CHP 43, Purchases Requisitions?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
<ul style="list-style-type: none"> Supplies for personally – owned equipment Commodities for personal use Confirming order Purchases via the internet 				
4. Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
5. Is all required information entered on the CHP 43, Purchase Requisition?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each fiscal year (July 1)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner Staff, for approval?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements

Purchases

8. Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Are the CHP 43, Purchase Requisitions, competitively bid?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Are items checked immediately for content and damage when delivered?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. Are Damaged items delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

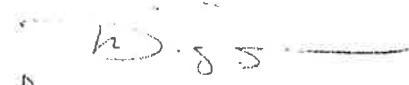
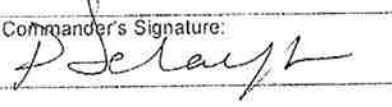
Chapter 3, Command Procurements
Purchases

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
- SPECTION CHECKLIST
Chapter 3, Command Procurements
X-Number Program

Command: Central L.A.	Division: Southern	Number: 590
Evaluated by: Sgt. R. Diggins, #14275		Date: 11/18/2008
Assisted by: Officer J. Donahue, #16689		Date: 11/13-18/08

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection	Commander's Signature: 
Date: 1-15-09			
For applicable policy, refer to: HPM 11.1, Chapter 23			
1. Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A
2. Does all X Number file documentation contain the STD. 204 Payee Data Record?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
3. Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
4. Are X Number requests made prior to the date the services are performed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
5. Are X Numbers issued for a one-time use?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
6. Are prohibited services performed using an X Number?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A
7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
8. Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A
9. Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
10. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM

SPECTION CHECKLIST

Chapter 3, Command Procurements

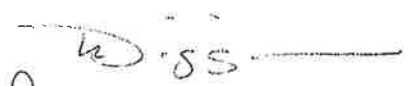
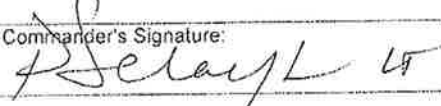
X-Number Program

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Do emergency service X Numbers document and justify the emergency?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
INSPECTION CHECKLIST
Chapter 3, Command Procurements
Contracts

Command: Central L. A.	Division: Southern	Number: 590
Evaluated by: Sgt. R. Diggins, #14275		Date: 11/18/2008
Assisted by: Officer J. Donahue, #16689		Date: 11/13-18/08

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead Inspector's Signature:		
<input type="checkbox"/> Division Level	<input checked="" type="checkbox"/> Command Level			
<input type="checkbox"/> Executive Office Level	<input type="checkbox"/> Voluntary Self-Inspection			
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Follow-up Inspection	Commander's Signature:		Date:
				1-15-09
For applicable policy, refer to: HPM 11.1, Chapter 22				
1. Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
3. Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for contract payable listed on the CHP 78?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
4. Is the performance of contract services monitored and documented?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
5. Are all copies of correspondence with the vendor maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
8. Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM
INSPECTION CHECKLIST
Chapter 3, Command Procurements
Contracts

9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
10. Is all work completed and accepted by the Department before expiration of contract agreement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Are contract expenditures monitored to ensure there are sufficient funds to pay for all services rendered as required by contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are all applicable form sections of the CHP 78 completed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
20. Are contract amendment request dollar amounts increased more than 30%?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM
INSPECTION CHECKLIST

Chapter 3, Command Procurements
Contracts

21. Is the length of the contract amendment request more than one year?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
22. Are amendments requested before the expiration of the original contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: None rented.
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: None rented.
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) <u>fingerprint checks and driver license checks</u> conducted for all of the following types of agreements: (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days. (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements

Contracts

27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
29. Are all invoices, records, and relevant documentation maintained <u>for three years</u> after the final payment of the contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
30. Is a log sheet maintained for a diary of activities related to the contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
31. Is a computer file prepared for all contracts administered?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
32. Is a spreadsheet prepared listing all expenditures?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
33. Is the notification to the contractor documented for the start date for services to begin?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: None.
36. Does the contract file contain the STD 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: None.
37. Does Contract work only begin after approval of the final contract? (SCM Vol. I, Ch. 4, Section 4.09)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Command: Central L.A.	Division: Southern	Chapter: 3
Inspected by: Sergeant R. Diggins, #14275		Date: 11/18/2008

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: _____	Commander's Signature: <i>[Signature]</i>	Date: 1-15-09
Due Date: _____			
Chapter Inspection: _____			
Inspector's Comments Regarding Innovative Practices: None.			

Command Suggestions for Statewide Improvement: None.

Inspector's Findings: Chapter 3, Command Procurements Cal-Card Program:
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2. STD 21 Drug Free Workplace certifications for vendors were not located. Effective immediately, vendors will be directed to complete the STD 21 when utilized.
4. California Integrated Waste Management Board form 74 documents were not located. Effective immediately, vendors will be directed to complete the required form 74 when utilized.

All other findings were in compliance with departmental policies and procedures.

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DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Page 2

Command: Central L.A.	Division: Southern	Chapter: 3
Inspected by: Sergeant R. Diggins, #14275		Date: 11/18/2008

Commander's Response:

Inspector's Comments:

None.

Required Action

Corrective Action Plan/Timeline

Corrective actions for the aforementioned procedures have been implemented immediately.

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COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT
ge 3


Command: Central L.A.	Division: Southern	Chapter: 3
Inspected by Sergeant R. Diggins, #14275		Date: 11/18/2008

Appeal Process: *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

Commander's Basis for Appeal:

Appeal Review/Decision: *(This shall be the only level of appeal).*

Lead Inspector's Signature.



Date:

11/18/08

Responding Commander's Signature (for appeal):

Date:

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL


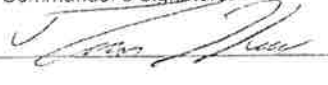
COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements
Contracts

Command: Castaic I. F.	Division: Southern Division	Number:
Evaluated by: Suzanne Torres, OSSI		Date: 12/26/2008
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 		
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection		Commander's Signature: 
				Date: 12-29-08
For applicable policy, refer to: HPM 11.1, Chapter 22				
1. Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
3. Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for <u>contract payable</u> listed on the CHP 78?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
4. Is the performance of contract services monitored and documented?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
5. Are all copies of correspondence with the vendor maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
8. Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements

Contracts

9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
10. Is all work completed and accepted by the Department before expiration of contract agreement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are all applicable form sections of the CHP 78 completed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
20. Are contract amendment request dollar amounts increased more than 30%?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements

Contracts

21. Is the length of the contract amendment request more than one year?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
22. Are amendments requested before the expiration of the original contract?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) <u>fingerprint checks</u> and <u>driver license checks</u> conducted for all of the following types of agreements: (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Janitorial contract for Castaic is through the Newhall Area office.
26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days: (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements

Contracts

27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
29. Are all invoices, records, and relevant documentation maintained for <u>three years</u> after the final payment of the contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
30. Is a log sheet maintained for a diary of activities related to the contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
31. Is a computer file prepared for all contracts administered?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
32. Is a spreadsheet prepared listing all expenditures?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
33. Is the notification to the contractor documented for the start date for services to begin?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:



STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements
X-Number Program

Command: Castaic I. F.	Division: Southern Division	Number:
Evaluated by: Suzanne Torres, OSS I		Date:
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 		
Follow-up Required: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection	Commander's Signature: 	
Date: 12-29-08				
For applicable policy, refer to: HPM 11.1, Chapter 23				
1. Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Does all X Number file documentation contain the STD. 204 Payee Data Record?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: (See attached memo)
3. Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
4. Are X Number requests made prior to the date the services are performed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
5. Are X Numbers issued for a one-time use?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Are prohibited services performed using an X Number?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
8. Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
9. Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
10. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: All facility x numbers are approved through Facilities Section.

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements

X-Number Program

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: (See attached memo)
14. Do emergency service X Numbers document and justify the emergency?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:


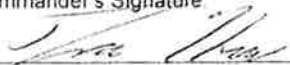
STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements
Cal-Card Program

Command: Castaic I. F.	Division: Southern Division	Number:
Evaluated by: Suzanne Torres, OSSI		Date: 12/26/2008
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead Inspector's Signature:		
<input type="checkbox"/> Division Level <input type="checkbox"/> Executive Office Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Voluntary Self-Inspection				
Follow-up Required: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection		Commander's Signature:  Date: 12-29-08
For applicable policy, refer to: HPM 11.2, Chapter 3				
1. Are all employees associated with the use of the Cal-Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Recently requested by Division.
2. Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: (See attached memo)
3. Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: (See attached memo)
4. Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Form 74's are received with office supplies.
5. If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
8. Does the CHP 317 Cal Card Log fully describe the purchase?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements

Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are credit invoices/receipts for returned items maintained with the bank statement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Calcards are locked in the OSSI's desk.
14. Are Cal Card purchases pre-approved by the commander?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: One new card holder has not received training.
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

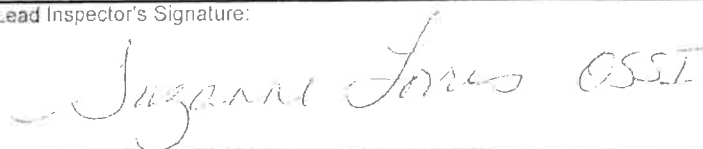
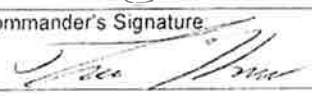
COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements
Purchases

Command: Castaic I. F.	Division: Southern Division	Number:
Evaluated by: Suzanne Torres, OSSI		Date: 12/26/2008
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 		
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Follow-up Inspection	Commander's Signature: 		Date: 12-29-08
For applicable policy, refer to: HPM 11.2, Chapter 7				
1. Are participants in the procurement process at the command level familiar with the related policies and procedures for purchasing?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Have Approvers/reviewers of purchases received procurement training?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
3. Are prohibited items procured on CHP 43, Purchases Requisitions? <ul style="list-style-type: none"> Supplies for personally – owned equipment Commodities for personal use Confirming order Purchases via the internet 	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
4. Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
5. Is all required information entered on the CHP 43, Purchase Requisition?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each fiscal year (July 1)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for approval?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: The area has not needed to expedited any purchases of goods.

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements
Purchases

8. Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: The area has not purchased specialized items.
9. Are the CHP 43, Purchase Requisitions, competitively bid?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
14. Are items checked immediately for content and damage when delivered?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: When a purchase order is not received, a signed copy of the 43 is sent in its place.
16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Freight and packing slips are attached and kept with the area's copy of the CHP 43.
17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: FMS is provided a copy of the purchase order or CHP 43 indicating which items have been received, dated and signed.
18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA
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COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements
Purchases

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: The facility has never cancelled a purchase requisition.
21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Division:
Southern Division

Command: Castaic E. F.
Inspected by: Suzanne Torres, OSSI
Date: 2/19/2009

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum number and additional space is required.

TYPE OF INSPECTION
☐ Division Level ☒ Command Level
☒ Executive Office Level

Follow-up Required:
☒ Yes ☐ No

Forward to: Lt. Omar Watson
Due Date: 02/19/2009

☒ Corrective Action Plan Included
☐ Appeal Included
☐ Attachments Included
Commander's Signature: [Signature]
Date: 02/19/2009

Chapter Inspection: [Redacted]

Inspector's Comments Regarding Innovative Practices: [Redacted]

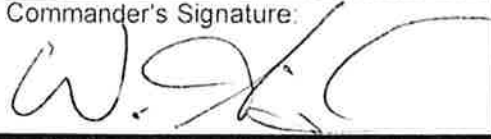
Command Suggestions for Statewide Improvement: [Redacted]

Inspector's Findings:
Standard Program: [Redacted]
STD 21, Drug Free Workplace Certification and STD 204, Payee Data Records are not on file for [Redacted]
Vendor: [Redacted]
Card holder: [Redacted] Jimmie Culver has not received cal-card training.
Program: [Redacted]
21, Drug Free Workplace Certification and STD 204, Payee Data Records are not on file for [Redacted]
Director: [Redacted]

COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Command Baldwin Park	Division Southern	Chapter 3
Inspected by Sergeant Miles Ingraham		Date: 12/01/2008

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input checked="" type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: Southern Division Due Date: _____	Commander's Signature: 	Date: 2/19/09
Chapter Inspection:			
Inspector's Comments Regarding Innovative Practices:			

The Baldwin Park Area has an Administrative Sergeant that handles the majority of X-number field related and facility related requests when required. The Office Manager handles clerical related X number requests and Cal-card purchases. In addition, the Baldwin Park Area has a General Support officer who is a designated Cal- Card purchaser.

Command Suggestions for Statewide Improvement:

The Baldwin Park has no suggestions for improvement as the Department has already implemented ReDS training and scheduled procurement training.

Inspector's Findings:

It was discovered that some of the Baldwin Park personnel involved in the procurement process had received informal procurement training but had not attended formal procurement training, and some of them were actually reviewers and approvers of documents. Coincidentally, a formal training class was being scheduled by headquarters personnel for the near future. It is the Inspector's recommendation that all personnel involved in the procurement process attend the upcoming training session.

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Command: Baldwin Park	Division: Southern	Chapter: 3
Inspected by Sergeant Miles Ingraham		Date: 12/01/2008

Page 2

Commander's Response:

The Baldwin Park Area concurs with the findings outlined on the Chapter 3 Command Procurements Exceptions Document.

Inspector's Comments:

The Inspector agrees with the Commanders response.

Required Action

Corrective Action Plan/Timeline

All Baldwin Park personnel involved in the Procurement process shall attend the upcoming procurement training being put on by Headquarters personnel in the near future.

Note: All Baldwin Park personnel involved with X-Numbers, Cal-Cards, etc (reviewers and approvers) including backups attended Procurement training at LARTMC on February 5, 2009.

STATE OF CALIFORNIA
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COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Page 3

Command: Baldwin Park	Division: Southern	Chapter: 3
Inspected by: Sergeant Miles Ingraham		Date: 12/01/2008

Appeal Process: *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

Commander's Basis for Appeal:

N/A

Appeal Review/Decision: *(This shall be the only level of appeal).*

N/A


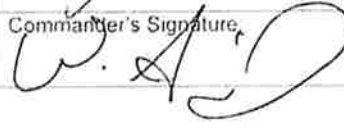
STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements
X-Number Program

Command: Baldwin Park	Division: Southern	Number: 006-52508
Evaluated by: Sgt. M. Ingraham		Date: 12/01/2008
Assisted by: Sgt. H. Castillo		Date: 12/01/2008

INSTRUCTIONS. Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Follow-up Inspection		Lead Inspector's Signature  Commander's Signature  Date 12/3/08		
For applicable policy, refer to: HPM 11.1, Chapter 23				
1. Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
2. Does all X Number file documentation contain the STD. 204 Payee Data Record?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
3. Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks
4. Are X Number requests made prior to the date the services are performed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
5. Are X Numbers issued for a one-time use?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
6. Are prohibited services performed using an X Number?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
8. Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
9. Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
10. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements

X-Number Program

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: If not, justification box is completed.
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Yes. Only after original use of vendor.
14. Do emergency service X Numbers document and justify the emergency?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
15. Is the itemized invoice for each X Number service maintained in the command's files?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks


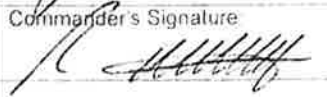
STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements
Cal-Card Program

Command Baldwin Park	Division Southern	Number 006-525-08
Evaluated by Sgt. M. Ingraham		Date 12/01/2008
Assisted by Sgt. H. Castillo		Date 12/01/2008

INSTRUCTIONS Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead Inspector's Signature			
<input type="checkbox"/> Division Level	<input checked="" type="checkbox"/> Command Level				
<input type="checkbox"/> Executive Office Level	<input type="checkbox"/> Voluntary Self-Inspection				
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		Commander's Signature		Date	
				12-23-08	
For applicable policy, refer to: HPM 11.2, Chapter 3					
1	Are all employees associated with the use of the Cal-Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
2	Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks On file with 78x files and vendor lists.
3	Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks On file with 78x files and vendor lists
4	Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
5	If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
6	When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
7	Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
8	Does the CHP 317 Cal Card Log fully describe the purchase?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
9	Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements

Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are credit invoices/receipts for returned items maintained with the bank statement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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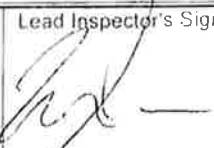
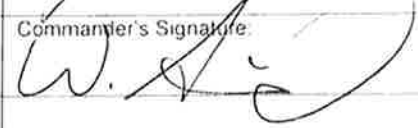
COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements
Purchases

Command Baldwin Park	Division Southern	Number 006-525-08
Evaluated by Sgt. M. Ingraham		Date 12/01/2008
Assisted by Sgt. H. Castillo		Date 12/01/2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature 		
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		Commander's Signature 	Date 12/3/08	
For applicable policy, refer to: HPM 11.2, Chapter 7				
1. Are participants in the procurement process at the command level familiar with the related policies and procedures for purchasing?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
2. Have Approvers/reviewers of purchases received procurement training?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
3. Are prohibited items procured on CHP 43, Purchases Requisitions? <ul style="list-style-type: none"> Supplies for personally – owned equipment Commodities for personal use Confirming order Purchases via the internet 	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
4. Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
5. Is all required information entered on the CHP 43, Purchase Requisition?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
6. Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each fiscal year (July 1)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
7. Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for approval?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks No expedited requests.

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COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements
Purchases

8. Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
9. Are the CHP 43, Purchase Requisitions, competitively bid?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks
14. Are items checked immediately for content and damage when delivered?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
19. Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM
INSPECTION CHECKLIST
Chapter 3, Command Procurements
Purchases

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: None are currently open.
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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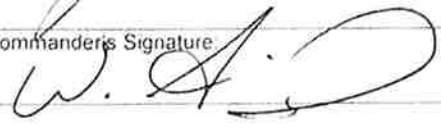
COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements
Contracts

Command Baldwin Park	Division Southern	Number 006-32508
Evaluated by: Sgt. M. Ingraham		Date 12/01/2008
Assisted by: Sgt. H. Castillo		Date 12/01/2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature 		
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		Commander's Signature 	Date 12/3/08	
For applicable policy, refer to: HPM 11.1, Chapter 22				
1. Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
3. Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for contract payable listed on the CHP 78?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
4. Is the performance of contract services monitored and documented?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Tow Contract specific
5. Are all copies of correspondence with the vendor maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: No problems experienced.
7. Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
8. Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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COMMAND INSPECTION PROGRAM
INSPECTION CHECKLIST
Chapter 3, Command Procurements
Contracts

9	Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks Comes from Sacramento
10	Is all work completed and accepted by the Department before expiration of contract agreement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
11	Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
12	Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
13	Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
14	Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
15	Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
16	Are all applicable form sections of the CHP 78 completed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
17	Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks
18	Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
19	Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks Two Contracts only
20	Are contract amendment request dollar amounts increased more than 30%?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements

Contracts

21. Is the length of the contract amendment request more than one year?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
22. Are amendments requested before the expiration of the original contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Tow Contract only.
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: None rented.
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) <u>fingerprint checks and driver license checks</u> conducted for all of the following types of agreements: (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: CHP janitor is not a service.
26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days: (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:

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DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

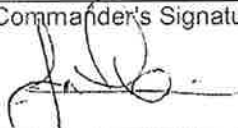
Chapter 3, Command Procurements
Contracts

27 Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks
28 Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks
29. Are all invoices, records, and relevant documentation maintained for <u>three years</u> after the final payment of the contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
30 Is a log sheet maintained for a diary of activities related to the contract?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
31 Is a computer file prepared for all contracts administered?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
32. Is a spreadsheet prepared listing all expenditures?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
33 Is the notification to the contractor documented for the start date for services to begin?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Yes. By letter. Copy kept on file.
34 Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
35 Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks
38 Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
39 Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Command: Antelope Valley	Division: Southern	Chapter: 3
Inspected by: Lt. A. Witmer/OSSI Hayworth		Date: 1/12/2009

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Forward to: Southern Division Due Date: Dec 10, 2008	Commander's Signature: 	Date: 2/19/09
Chapter Inspection: Command Procedures			
Inspector's Comments Regarding Innovative Practices:			

None.

Command Suggestions for Statewide Improvement:
--

None.

Inspector's Findings:

Contracts Program: All contracts are administered by Headquarters. The Area does oversee the work of the contractors for the HVAC system and for the landscaping. There have been no problems with the work being performed by the HVAC contractors. Issues regarding the landscaping/maintenance are discussed with the landscaper and immediately resolved.

X Number Program: The Area's X-Number program was found to be operating within guidelines.

Cal-Card Program: The Area's Cal-Card Program was found to be operating within guidelines.

Purchases Program: The Area's Purchases Program was found to be operating within guidelines

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

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Command:	Division:	Chapter:
Antelope Valley	Southern	4
Inspected by:	Date:	
Lt. Andria Witmer/OSSI Hayworth	11/10/2008	

Commander's Response:

None required.

Inspector's Comments:

None.

Required Action

Corrective Action Plan/Timeline

None.

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DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
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Page 3


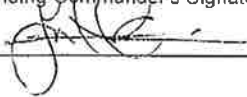
Command: Antelope Valley	Division: Southern	Chapter: 4
Inspected by: Lt. A. Witmer/OSSI Hayworth	Date: 11/10/08	

Appeal Process: *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

Commander's Basis for Appeal:

N/A

Appeal Review/Decision: *(This shall be the only level of appeal).*

Lead Inspector's Signature: 	Date: 2/19/09
Responding Commander's Signature (for appeal): 	Date: 2-19-09

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements
Cal-Card Program

Command: Antelope Valley	Division: Southern	Number: 545
Evaluated by: Lt. A. Wilmer, #11451		Date: 1/20/09
Assisted by: Officer B. Moya, #10243		Date: 1/20/09

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature:		
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection Commander's Signature:	Date: 1-20-09	
For applicable policy, refer to: HPM 11.2, Chapter 3				
1. Are all employees associated with the use of the Cal-Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Area uses vendors approved by Division who has this document on file.
3. Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
4. Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
5. If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Area has not had need to use this.
7. Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
8. Does the CHP 317 Cal Card Log fully describe the purchase?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements

Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are credit invoices/receipts for returned items maintained with the bank statement?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No items have had to be returned.
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

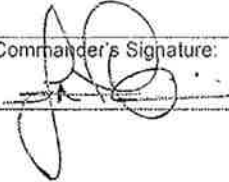
STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements
Contracts

Command: Antelope Valley	Division: Southern	Number: 545
Evaluated by: Lt. A. Witmer, #11451		Date: 1/20/09
Assisted by: Officer B. Moya, #10243		Date: 1/20/09

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature:	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Follow-up Inspection	Commander's Signature: 	Date: 1-20-09
For applicable policy, refer to: HPM 11.1, Chapter 22			
1. Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
2. Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A
3. Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for contract payable listed on the CHP 78?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
4. Is the performance of contract services monitored and documented?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
5. Are all copies of correspondence with the vendor maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A
7. Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
8. Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
		Remarks: All contractors have performed as required.	

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements
Contracts

9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Area has not had short notice contracts processed.
10. Is all work completed and accepted by the Department before expiration of contract agreement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are all applicable form sections of the CHP 78 completed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Area has not experienced problems with contractor performance.
20. Are contract amendment request dollar amounts increased more than 30%?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: None requested.

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements

Contracts

21. Is the length of the contract amendment request more than one year?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
22. Are amendments requested before the expiration of the original contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) <u>fingerprint checks and driver license checks</u> conducted for all of the following types of agreements: (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Area custodian is a CHP employee.
26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days: (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair	<input type="checkbox"/> Yes	{ FORMC HECKB OX <input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Area has not contracted for these services exceeding the 30 day limit.

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COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements

Contracts

27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
29. Are all invoices, records, and relevant documentation maintained for <u>three years</u> after the final payment of the contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
30. Is a log sheet maintained for a diary of activities related to the contract?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Not done at Area level for contracts administered by HQ.
31. Is a computer file prepared for all contracts administered?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Not done at Area level for contracts administered by HQ.
32. Is a spreadsheet prepared listing all expenditures?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Not done at Area level for contracts administered by HQ.
33. Is the notification to the contractor documented for the start date for services to begin?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No consultant services have been needed.
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
37. Does Contract work only begin after approval of the final contract? (SCM Vol. I, Ch. 4, Section 4.09)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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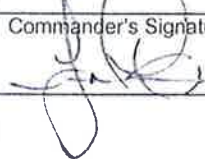
COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements
Purchases

Command: Antelope Valley	Division: Southern	Number: 545
Evaluated by: Lt. A. Witmer		Date: 11/10/2008
Assisted by: OSSI Cindy Hayworth		Date: 11/10/2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 		
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Follow-up Inspection		Commander's Signature: 		Date: 12/12/08
For applicable policy, refer to: HPM 11.2, Chapter 7				
1. Are participants in the procurement process at the command level familiar with the related policies and procedures for purchasing?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Have Approvers/reviewers of purchases received procurement training?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
3. Are prohibited items procured on CHP 43, Purchases Requisitions? <ul style="list-style-type: none"> Supplies for personally – owned equipment Commodities for personal use Confirming order Purchases via the internet 	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
4. Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
5. Is all required information entered on the CHP 43, Purchase Requisition?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each fiscal year (July 1)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
7. Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for approval?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements
Purchases

8. Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Are the CHP 43, Purchase Requisitions, competitively bid?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Only Range facilities were obtained via NCB since no other facilities were available and no corrective action plan needed.
14. Are items checked immediately for content and damage when delivered?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements
Purchases

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: No cancellations have been required.
21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Contained in the requisition book.
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Supporting documents are attached to requisitions.
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements

X-Number Program

Command: Antelope Valley	Division: Southern	Number: 545
Evaluated by: Lt. A. Witmer, #11451		Date: 1/20/09
Assisted by: Officer B. Moya, #10243		Date: 1/20/09

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature:	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Follow-up Inspection	Commander's Signature:	Date: 1-20-09
For applicable policy, refer to: HPM 11.1, Chapter 23			
1. Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A
2. Does all X Number file documentation contain the STD. 204 Payee Data Record?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
3. Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
4. Are X Number requests made prior to the date the services are performed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
5. Are X Numbers issued for a one-time use?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
6. Are prohibited services performed using an X Number?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A
7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
8. Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
9. Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
10. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A

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COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

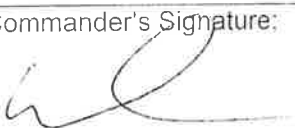
Chapter 3, Command Procurements
X-Number Program

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: Area X Number requests have been for emergency repairs so no STD 21 was obtained due to time limitations.
14. Do emergency service X Numbers document and justify the emergency?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

**COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT**

Command: Altadena Area	Division: Southern	Chapter: 3
Inspected by: Lieutenant Geletko		Date: 12/29/2008

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level		<input checked="" type="checkbox"/> Corrective Action Plan Included <input type="checkbox"/> Appeal Included <input type="checkbox"/> Attachments Included	
Follow-up Required: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Forward to: Southern Division Due Date: 12/31/2008	Commander's Signature: 	Date: 1-5-09
Chapter Inspection:			
Inspector's Comments Regarding Innovative Practices:			

The Altadena Area has not implemented any innovative practices regarding contracts, Cal-Card, X-numbers and purchases.

Command Suggestions for Statewide Improvement:
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None.

Inspector's Findings:

The Area is following all policies and procedures regarding "Purchases" as outlined in HPG 22.1.

The Area does not maintain the STD. 21 Drug Free workplace certification for all X-number and Cal-Card vendors. All Cal-Card holders have not received formal training regarding the Department's procurement processes.

The Area has not prepared a computer file for all contracts administered. In addition, the Area has not prepared a spreadsheet listing all expenditures. Notification to the contractor has not been documented for the start date for the services to be performed.

COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Command: Altadena Area	Division: Southern	Chapter: 3
Inspected by: Lieutenant Geletko		Date: 12/29/2008

Page 3

Appeal Process: *(Appeals shall be filed within five (5) business days of the completed chapter inspection).*

Commander's Basis for Appeal:

Appeal Review/Decision: *(This shall be the only level of appeal).*

Lead Inspector's Signature:

Geletko LT #11157

Date:

12/29/2008

Responding Commander's Signature (for appeal):

Date:

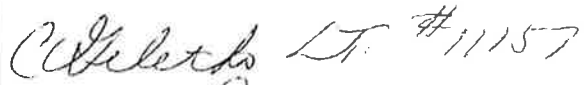

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DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements
Cal-Card Program

Command: Altadena Area	Division: Southern	Number: 575
Evaluated by: Lieutenant Chuck Geletko		Date: 12/29/2008
Assisted by: Office Manager Sandra Gutierrez		Date: 12/29/2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 		
Follow-up Required: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection		Commander's Signature: 
Date: 1-5-09				
For applicable policy, refer to: HPM 11.2, Chapter 3				
1. Are all employees associated with the use of the Cal-Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
2. Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: The STD. 21 certification was not included in the file documentation for each vendor.
3. Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
4. Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
5. If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
6. When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: The Area purchases the least expensive item when several selections are available.
7. Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
8. Does the CHP 317 Cal Card Log fully describe the purchase?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements

Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are credit invoices/receipts for returned items maintained with the bank statement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks: All purchase receipts/invoices are itemized.
13. Are Cal Cards maintained in a secure area?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: The Commander pre-approves purchases and Division is contacted prior to the actual purchase if any question exists.
15. Have all cardholders received training on the Department's procurement processes?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: All cardholders have not received formal training.
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

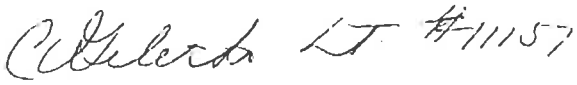

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DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements
Purchases

Command: Altadena Area	Division: Southern	Number: 575
Evaluated by: Lieutenant Chuck Geletko		Date: 12/29/2008
Assisted by: Office Manager Sandra Gutierrez		Date: 12/29/2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature: 	
Follow-up Required: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input type="checkbox"/> Follow-up Inspection	Commander's Signature: 	Date: 1-5-09
For applicable policy, refer to: HPM 11.2, Chapter 7			
1. Are participants in the procurement process at the command level familiar with the related policies and procedures for purchasing?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
2. Have Approvers/reviewers of purchases received procurement training?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
3. Are prohibited items procured on CHP 43, Purchases Requisitions? <ul style="list-style-type: none"> Supplies for personally – owned equipment Commodities for personal use Confirming order Purchases via the internet 	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
4. Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
5. Is all required information entered on the CHP 43, Purchase Requisition?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
6. Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each fiscal year (July 1)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
7. Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for approval?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A Remarks: Expedited requests are forwarded to Southern Division.

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COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements
Purchases

8. Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
9. Are the CHP 43, Purchase Requisitions, competitively bid?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A	Remarks:
14. Are items checked immediately for content and damage when delivered?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: The freight and/or packing slips are attached to the CHP 43.
17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Attached to the CHP 43.
18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: Attached to the CHP 43.
19. Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements

Purchases

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

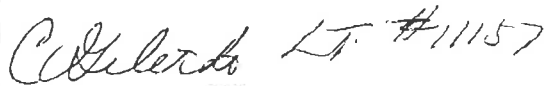
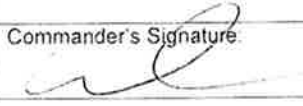
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COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements
X-Number Program

Command: Altadena Area	Division: Southern	Number: 575
Evaluated by: Lieutenant Chuck Geletko		Date: 12/01/2008
Assisted by: Office Manager Sandra Gutierrez		Date: 12/01/2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature:  LT #11157	
Follow-up Required: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		<input type="checkbox"/> Follow-up Inspection	Commander's Signature: 
Date: 1-5-09			
For applicable policy, refer to: HPM 11.1, Chapter 23			
1. Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A
2. Does all X Number file documentation contain the STD. 204 Payee Data Record?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
3. Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
4. Are X Number requests made prior to the date the services are performed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
5. Are X Numbers issued for a one-time use?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
6. Are prohibited services performed using an X Number?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A
7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
8. Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
9. Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
10. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A
Remarks: Area obtains approval from Facilities Section.			

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COMMAND INSPECTION PROGRAM

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Chapter 3, Command Procurements

X-Number Program


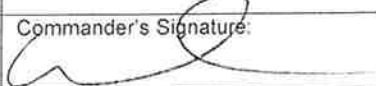
11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: The STD 21 certification was not included in the file documentation for each vendor.
14. Do emergency service X Numbers document and justify the emergency?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements
Contracts

Command: Altadena Area	Division: Southern	Number: 575
Evaluated by: Lieutenant Chuck Geletko		Date: 12/29/2008
Assisted by: Office Manager Sandra Gutierrez		Date: 12/29/2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statutes, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION <input type="checkbox"/> Division Level <input checked="" type="checkbox"/> Command Level <input type="checkbox"/> Executive Office Level <input type="checkbox"/> Voluntary Self-Inspection		Lead Inspector's Signature:  LT #11157	
Follow-up Required: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Follow-up Inspection	Commander's Signature: 	Date: 1/5/09
For applicable policy, refer to: HPM 11.1, Chapter 22			
1. Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
2. Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
3. Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for contract payable listed on the CHP 78?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
4. Is the performance of contract services monitored and documented?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
5. Are all copies of correspondence with the vendor maintained?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
7. Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:
8. Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A Remarks:

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OMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements
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9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
10. Is all work completed and accepted by the Department before expiration of contract agreement?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
13. Are contract expenditures monitored to ensure there are sufficient funds to pay for all services rendered as required by contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
16. Are all applicable form sections of the CHP 78 completed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
20. Are contract amendment request dollar amounts increased more than 30%?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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Chapter 3, Command Procurements
Contracts

21. Is the length of the contract amendment request more than one year?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
22. Are amendments requested before the expiration of the original contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) <u>fingerprint checks and driver license checks</u> conducted for all of the following types of agreements: (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days: (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:

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COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements

Contracts

27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
29. Are all invoices, records, and relevant documentation maintained for <u>three years</u> after the final payment of the contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
30. Is a log sheet maintained for a diary of activities related to the contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
31. Is a computer file prepared for all contracts administered?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
32. Is a spreadsheet prepared listing all expenditures?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
33. Is the notification to the contractor documented for the start date for services to begin?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks:
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	<input type="checkbox"/> N/A	Remarks: